

OCT 25 2004

TRANSMITTAL FORM

Attorney Docket No.
3092P

JFW

In re the application of **Ben W. CHEN and Augustine W. CHANG**Confirmation No: **To Be Assigned**Serial No: **10/800,228**Group Art Unit: **2818**Filed: **March 12, 2004**Examiner: **To Be Assigned**For: **Flash Memory Device and Architecture with Multilevel Cells**

ENCLOSURES (check all that apply)

<input type="checkbox"/>	Amendment/Reply	<input type="checkbox"/>	Assignment and Recordation Cover Sheet	<input type="checkbox"/>	After Allowance Communication to Group
<input type="checkbox"/>	After Final	<input type="checkbox"/>	Part B-Issue Fee Transmittal	<input type="checkbox"/>	Notice of Appeal
<input checked="" type="checkbox"/>	Information disclosure statement	<input type="checkbox"/>	Letter to Draftsman	<input type="checkbox"/>	Appeal Brief (in triplicate)
<input checked="" type="checkbox"/>	Form 1449	<input type="checkbox"/>	Drawings	<input type="checkbox"/>	Status Letter
<input type="checkbox"/>	(X) Copies of References	<input type="checkbox"/>	Petition	<input checked="" type="checkbox"/>	Postcard
<input type="checkbox"/>	Extension of Time Request *	<input type="checkbox"/>	Fee Address Indication Form	<input type="checkbox"/>	Other Enclosure(s) (please identify below):
<input type="checkbox"/>	Express Abandonment	<input type="checkbox"/>	Terminal Disclaimer		
<input type="checkbox"/>	Certified Copy of Priority Doc	<input type="checkbox"/>	Power of Attorney and Revocation of Prior Powers		
<input type="checkbox"/>	Response to Incomplete Appln	<input type="checkbox"/>	Change of Correspondence Address		
<input type="checkbox"/>	Response to Missing Parts	*Extension of Term: Pursuant to 37 CFR 1.136, Applicant petitions the Commissioner to extend the time for response for xxxxxx month(s), from to .			
<input type="checkbox"/>	Executed Declaration by Inventor(s)				

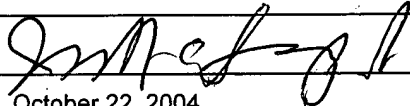
CLAIMS

FOR	Claims Remaining After Amendment	Highest # of Claims Previously Paid For	Extra Claims	RATE	FEE
Total Claims	12	20	0	\$18.00	\$ 0.00
Independent Claims	1	3	0	\$88.00	\$ 0.00
Total Fees					\$ 0.00

METHOD OF PAYMENT

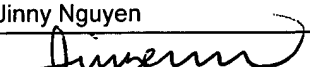
<input type="checkbox"/>	Check no. _____ in the amount of \$ _____ is enclosed for payment of fees.
<input type="checkbox"/>	Charge \$ _____ to Deposit Account No. _____ (Account Holder Name) for payment of fees.
<input checked="" type="checkbox"/>	Charge any additional fees or credit any overpayment to Deposit Account No. 02-2120 (Sawyer Law Group LLP).

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Attorney Name	Joseph A. Sawyer, Jr., Reg. No. 30,801
Signature	
Date	October 22, 2004

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on **October 22, 2004**

Type or printed name	Jinny Nguyen
Signature	



CERTIFICATE OF MAIL

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on **October 22, 2004.**


Jiny Nguyen

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Date: October 22, 2004

Ben W. CHEN and Augustine W. CHANG

Confirmation No.: To Be Assigned

Serial No.: 10/800,228

Group Art Unit: 2818

Filed: March 12, 2004

Examiner: To Be Assigned

For: FLASH MEMORY DEVICE AND ARCHITECTURE WITH MULTI LEVEL
CELLS

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE
STATEMENT UNDER 37 C.F.R. §1.97

Sir:

Pursuant to 37 C.F.R. §1.97 and §1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. The Examiner is requested to make these documents of record. This Information Disclosure Statement is being submitted:

☐ With copies.

☐ Without copies. Copies of the documents were previously submitted in an Information Disclosure Statement and/or Office Action, directed to the related application Serial No. **, filed **. This protocol conforms with 37 C.F.R. §1.98(d) and M.P.E.P. 609 (A)(2).

☒ Without Copies. This protocol conforms with 37 CFR 1.98(a)(2)(i), which waives the requirement for submitting a copy of each cited U.S. Patent and each U.S. patent application publication for all U.S. national patent applications filed after June 30, 2003.

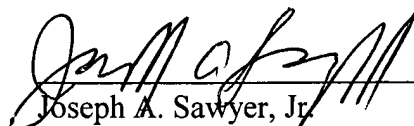
- ☒ Within three months of the application filing date, or before mailing of a first Office Action on the merits.
 - ☐ After receipt of a first Office Action on the merits, but before the mailing date of a Final Office Action under §1.113, or a Notice of Allowance §1.311. Accompanied by one of:
 - ☐ Certification under 37 CFR §1.97(e); or
 - ☐ The fee set forth in §1.17(p)
 - ☐ After mailing of a final Office Action or Notice of Allowance, but on or before payment of the issue fee. Accompanied by:
 - ☐ Certification under 37 CFR §1.97(e); and
 - ☐ The fee set forth in §1.17(p)
 - ☐ A Certification under 37 C.F.R. §1.97(e) is provided below:
 - ☐ I hereby certify that each item of information was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- or-
- ☐ I hereby certify that no item of information was cited in a communication from a foreign patent office in a counterpart foreign application or, to the best of my knowledge after making a reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

If any unresolved issues remain, please contact Applicant's attorney at the telephone number indicated below. The Commissioner is hereby authorized to charge any fees associated with this communication, or credit any overpayment, to Deposit Account No. 02-2120 (Sawyer Law Group LLP).

Respectfully submitted,

SAWYER LAW GROUP LLP



Joseph A. Sawyer, Jr.
Attorney for Applicant(s)
Reg. No. 30,801
(650) 493-4540

October 22, 2004
Date

FORM PTO-1449 (Modified)

LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION
DISCLOSURE STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

3092P

SERIAL NO.

10/800,228

APPLICANT:

Ben W. CHEN and Augustine W. CHANG

FILING DATE:

March 12, 2004

GROUP:

2818

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIALS	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPRO.)
	5 4 8 5 4 2 2	01/16/96	Bauer et al.	365	168	
	5 5 3 9 6 9 0	07/32/96	Talreja et al.	365	185.22	
	5 7 4 8 5 3 6	05/05/98	Kwon et al.	365	185.25	
	5 7 6 8 1 8 8	06/16/98	Park et al.	365	185.03	
	5 9 7 3 9 5 7	10/26/99	Tedrow	365	185.03	
	6 0 9 1 6 1 8	07/18/00	Fazio et al.	365	45	

FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

EXAMINER	DATE CONSIDERED	

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449 (Modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	ATTORNEY DOCKET NO. 3092P	SERIAL NO. 10/800,228
	APPLICANT: Ben W. CHEN and Augustine W. CHANG	
	FILING DATE: March 12, 2004	GROUP: 2818

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIALS		DOCUMENT NUMBER							DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPRO.)
		6	0	9	7	6	3	7	08/01/00	Bauer et al.	365	185.24	
		6	1	1	5	2	9	0	09/05/00	Kwong	365	185.25	
		6	1	7	8	1	1	4	01/23/01	Yang	365	185.03	
		6	4	8	3	7	4	2	11/19/02	Sweha et al.	365	185.03	
		6	6	1	1	4	6	0	08/26/03	Lee et al.	365	185.18	
		6	6	3	9	8	3	7	10/28/03	Takano et al.	365	185.22	

FOREIGN PATENT DOCUMENTS

[illegible]

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

EXAMINER	DATE CONSIDERED		

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.